



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/998,095	11/30/2001	Darryl Lee Presley	50277-1961	4337
42425 7590 09/26/2007 HICKMAN PALERMO TRUONG & BECKER/ORACLE 2055 GATEWAY PLACE SUITE 550 SAN JOSE, CA 95110-1089			EXAMINER VU, THONG H	
			ART UNIT 2616	PAPER NUMBER
			MAIL DATE 09/26/2007	DELIVERY MODE PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

09/998,095

Applicant(s)

PRESLEY, DARRYL LEE

Examiner

Thong H. Vu

Art Unit

2616

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 30 August 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-5,7-11,14-29 and 31-50 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-5,7-11,14-29,31-50 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s).

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Notice of Informal Patent Application
- ☐ Other: \_\_\_\_\_

1. Claims 1-5,7-11,14-37,39-49 and new claim 50 are pending.

***Response to Arguments***

2. Applicant's arguments with respect to claims 1-5,7-11,14-37,39-49 have been considered but are moot in view of the new ground(s) of rejection.

***Claim Rejections - 35 USC § 102***

Claims 1-5,7-11,14-37,39-50 are rejected under 35 U.S.C. 102(e) as being anticipated by Stolorz et al [Stolorz 2003/0065762 A1].

3. Claim 26, Stolorz discloses A method, comprising:

maintaining a repository for storing information about a configuration policy [Stolorz, a policy database 124, 0048, Fig 1];

retrieving the configuration of each of a plurality of components by communicating with a client module residing at each component of the plurality of components [Stolorz, different server groups, 0049-0050, Fig 1];

extracting, from each configuration retrieved, a set of configuration parameters [Stolorz, retrieved from policy database, 0111]; and

validating each extracted configuration parameter against the configuration policy [Stolorz, adaptive policy-base management scheme, 0056].

4. Claim 27, Stolorz discloses accessing component-specific configuration parameters of the configuration of at least one of the plurality of components [Stolorz, configurable, 0003].

5. Claim 28, Stolorz discloses dynamically probing each component, of the plurality of components, to determine whether the configuration of the component has been changed [Stolorz, dynamically probe, 0098].

6. Claim 29, Stolorz discloses forming a component parameter relationship dependency tree from the extracted configuration parameters; and determining the effect of making a configuration change, to the configuration of a particular component, of the plurality of components, by traversing the component parameter relationship dependency tree [Stolorz, a network hierarchy or tree, 0076; a particular server group, 0077].

7. Claim 30, Stolorz discloses the configuration policy defines, for each configuration parameter of the configuration of each of the plurality of components, a value range for which the configuration parameter will be successfully validated [Stolorz, time zone, 0070].

8. Claim 31, Stolorz discloses the extracted configuration parameters are expressed in one or more XML documents [Stolorz, XML file with policies, 0118].

Claim 32, Stolorz discloses the configuration policy is expressed in a set of global parameter definitions and document type definitions [Stolorz, global traffic control, 0003].

9. Claim 33, Stolorz discloses managing the configuration parameters of the configuration of the plurality of components; advising an administrator about the configuration parameters of the configuration of the plurality of components; alerting an administrator about the configuration parameters of the configuration of the plurality of

components; and acquiescing to the modification of the configuration parameters of the configuration of the plurality of components [Stolorz, ATC administrative framework, 0058; alert generation mechanism, 0091].

10. Claim 34, Stolorz discloses providing a browsing service comprising a user interface management console [Stolorz, browser, 0049].

11. Claim 35, Stolorz discloses registering new components with a management configuration module [Stolorz, new scheme are added, 0045].

12. Claim 36, Stolorz discloses receiving, at a management configuration module, XML documents that describe the configuration parameters of the configuration of a particular component, when the configuration of the particular component is changed [Stolorz, XML, 0118].

13. Claim 37, Stolorz discloses at least one of the plurality of components corresponds to at least one of a Web server, an internet application server, and a database server [Stolorz, web server 0042, internet service provider, 0049, policy database 0047].

14. Claim 1, Stolorz discloses A system for actively managing configurable components, comprising:  
a plurality of components, each component storing a configuration comprising a set of configuration parameters [Stolorz, DNS component];  
a repository that stores information about a configuration policy [Stolorz, policy database, 0095];

a server configured to [Stolorz, servers 118, Fig 1] (a) register each of the plurality of components [Stolorz, subscriber server network 104, Fig1], (b) perform dynamic probing operations on each of the plurality of components to identify configuration changes made to the configuration of each of the plurality of components [Stolorz, dynamically probe, 0098; monitoring of each name server, 0128], and (c) validate identified configuration changes against the configuration policy to determine whether the configuration changes conform to the configuration policy [Stolorz, appropriate interpreted, 0145].

15. Claim 2, Stolorz discloses the configuration policy defines, for each configuration parameter of the configuration of each of the plurality of components, a value range for which the configuration parameter will be successfully validated by the server [Stolorz, time zone, 0070].

16. Claim 3, Stolorz discloses the server comprises a set of core services for responding to an identified configuration change, wherein the set of core services comprises at least one of: a first service for changing a value of at least one configuration parameter to a default or previously validated value; a second service for auditing the configuration parameters of the configuration of at least one of the plurality of components; a third service for generating an alert regarding the configuration parameters of the configuration of at least one of the plurality of components; and a fourth service for acquiescing to the identified configuration change [Stolorz, a set of servers that provide service, 0075; alert generation mechanism, 0091].

17. Claim 4, Stolorz discloses a log storing data that identifies an identified configuration change made to the configuration of a particular component [Stolorz, particular server group, 0077].
18. Claim 5, Stolorz discloses a configuration and validation module for performing impact analysis on the identified configuration changes against the plurality of components [Stolorz, analyzed information, 0091].
19. Claim 39, Stolorz discloses the information indicates a relationship dependency between a first configuration parameter in the configuration of a first component and a second configuration parameter in the configuration of a different component [Stolorz, parameter, 0123; different type of servers, 0121].
20. Claim 40, Stolorz discloses the server validates the configuration, for the first component, based upon the relationship dependency between the first configuration parameter and the second configuration parameter [Stolorz, parameter, 0123].
21. Claim 41, Stolorz discloses the information includes at least one document type definition defining a mapping between the configuration of at least two of the plurality of individual components [Stolorz, dynamically defined load share information, 0086].
22. Claim 47, Stolorz discloses the relationship dependency comprises one of one-way, two-way, cyclic, one-to-many, many-to-one, and many-to-many [Stolorz, relationship, 0018].
23. Claim 7 Stolorz discloses A method for actively managing configurable components, comprising:

maintaining a repository, accessible to a server, that stores information about a configuration policy [Stolorz, a policy database 124, 0048, Fig 1];  
registering, with the server, each of a plurality of components [Stolorz, subscriber server network 104, Fig1];  
performing dynamic probing operations on each of the plurality of components to identify configuration changes made to a configuration of each of the plurality of components [Stolorz, dynamically probe, 0098; monitoring of each name server, 0128];  
and  
validating, at the server, identified configuration changes against the configuration policy to determine whether the identified configuration changes conform to the configuration policy [Stolorz, adaptive policy-base management scheme, 0056].

24. Claim 8, Stolorz discloses the configuration policy defines, for each configuration parameter of the configuration of each of the plurality of components, a value range for which the configuration parameter will be successfully validated by the server server [Stolorz, time zone, 0070].

25. Claim 9, Stolorz discloses responding to an identified configuration change by performing at least one of changing a value of at least one configuration parameter to a default or previously validated value; auditing configuration parameters of the configuration of at least one of the plurality of components; generating an alert regarding the configuration parameters of the configuration of at least one of the plurality of components; and acquiescing to the identified configuration change [Stolorz,



ATC administrative framework, 0058; editing mechanism, 0084; alert generation mechanism, 0091].

26. Claim 10, Stolorz discloses logging data that identifies an identified configuration change made to the configuration of a particular component to a log file [Stolorz, an administrative policy update mechanism, 0083].

27. Claim 11, Stolorz discloses performing impact analysis on the identified configuration changes against the plurality of components [Stolorz, analyzed information, 0091].

28. Claim 42, Stolorz discloses the information indicates a relationship dependency between a first configuration parameter in the configuration of a first component and a second configuration parameter in the configuration of a different component [Stolorz, relationship, 0018].

29. Claim 43, Stolorz discloses the server validates the configuration, for the first component, based upon the relationship dependency between the first configuration parameter and the second configuration parameter [Stolorz, relationship, 0018].

30. Claim 44, Stolorz discloses the information includes at least one document type definition defining a mapping between the configuration of at least two of the plurality of individual components [Stolorz, the hostname maps to on or more particular network address, 0045].

31. Claim 45, Stolorz discloses a particular configuration change comprises a change to a configuration parameter or type definition associated with a particular component [Stolorz, an administrative policy update mechanism, 0083].

32. Claim 46, Stolorz discloses the configuration policy, stored in the repository, includes a master set of configuration parameters and type definitions for each of the plurality of components [Stolorz, a central or primary administrative master agent, 0081].

33. Claim 48, Stolorz discloses the relationship comprises one of one-way, two-way, cyclic, one-to-many, many-to-one, and many-to-many [Stolorz, relationship, 0018].  
Claim 50, Stolorz discloses each of the plurality of components is separate from the server [Stolorz, Fig 1].

34. Claim 14, Stolorz discloses A system, comprising a plurality of components, wherein each component, of the plurality of components, comprises a client module for accessing configuration parameters of a configuration of the component  
a management server which maintains a repository for storing information about a configuration policy [Stolorz, a policy database, 0047]; and a management console capable of accessing the repository, wherein the management console comprises:  
at least one service interface for retrieving (a) the configuration of a particular component, of the plurality of components, by communicating with the client module associated with the particular component, and (b) configurations of each other component of the plurality of components [Stolorz, ATC 142, ATC name server network 118, subscriber server network 104, Fig 1];  
a parser for extracting configuration parameters from each retrieved configuration [Stolorz, parsed and stored, 0118];

and a validator for validating each extracted configuration parameter against the configuration policy [Stolorz, database manage 132, Fig 1].

35. Claim 15, Stolorz discloses at least one adapter for accessing component-specific configuration parameters of the configuration of at least one of the plurality of components [Stolorz, an adaptive traffic control mechanism 126, 0048, Fig 1].

36. Claim 16, Stolorz discloses at least one component-specific adapter for dynamically probing the plurality of components Stolorz, dynamic probe, 0098].

37. Claim 17, Stolorz discloses a component parameter relationship dependency tree formed from the extracted configuration parameters; and an impact analyzer for analyzing the effect of making a configuration change, to the configuration of the particular component, of the plurality of components, by traversing the component parameter relationship dependency tree [Stolorz, analyzing information, 0091].

38. Claim 18, Stolorz discloses a change manager for effecting a change to a configuration parameter [Stolorz, the policy editing mechanism 162, 0084].

39. Claim 19, Stolorz discloses a set of one or more XML documents comprising the extracted configuration parameters [Stolorz, XML file with policies, 0118].

40. Claim 20, Stolorz discloses the configuration policy is expressed in a set of global parameter definitions and document type definitions [Stolorz, global traffic control, 0003].

41. Claim 21, Stolorz discloses validation services, wherein the validation services perform at least one of managing the configuration parameters of the configuration of the plurality of components; advising an administrator about the configuration

parameters of the configuration of the plurality of components; alerting an administrator about the configuration parameters of the configuration of the plurality of components; and acquiescing to the modification of the configuration parameters of the configuration of the plurality of components [Stolorz, ATC administrative framework, 0058].

42. Claim 22, Stolorz discloses a browsing service providing a user interface management console [Stolorz, browser, 0049].

43. Claim 23, Stolorz discloses a management configuration module for registering new components [Stolorz, new scheme are added, 0045].

44. Claim 24, Stolorz discloses a management configuration module capable of receiving XML documents, which describe the configuration parameters of the configuration of the particular component, when the configuration of the particular component is changed [Stolorz, XML file with policies, 0118].

45. Claim 25, Stolorz discloses at least one of the plurality of components corresponds to at least one of a Web server, an internet application server, and a database server [Stolorz, web server 0042, internet service provider, 0049, policy database 0047].

46. Claim 49, Stolorz discloses A computer-readable storage medium holding code which, when executed, performs the method according to any one of Claims 7, 8, 9, 10, 11, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37, 39, 40, 41, 42, 43, 44, 45, 46, and 48. [see rejection above].

Art Unit: 2616

Any inquiry concerning this communication or earlier communications from the examiner should be directed to *Thong H. Vu* whose telephone number is 571-272-3904. The examiner can normally be reached on 6:00-3:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, *Lynn Feild* can be reached on 571-272-2092. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

*Thong Vu*  
*Primary Examiner*

THONG VU  
PRIMARY PATENT EXAMINER

A handwritten signature in black ink, appearing to read 'Thong Vu', with a long horizontal stroke extending to the right.